

FORM PTO-1390  
(REV 10-94)

DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

10921.101USWO

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

UNKNOWN 10/019810

INTERNATIONAL APPLICATION NO.

PCT/JP/02568

INTERNATIONAL FILING DATE

APRIL 19, 2000

PRIORITY DATE CLAIMED

APRIL 21, 1999

TITLE OF INVENTION

AQUEOUS POLYAMIDE RESIN DISPERSION AND PROCESS FOR PRODUCING THE SAME

APPLICANT(S) FOR DO/EO/US

ARAKI, Eiji; SUGIHARA, Norihiro; NAKAO, Kaichiro; MANABE, Hiroshi

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(I).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98., form 1449, and 8 references.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: PCT/ISA/210; PCT/IB/304; PCT/IB/308; PCT/IB/332

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) <b>UNKNOWN 10/019810</b>		INTERNATIONAL APPLICATION NO. PCT/JP/02568		ATTORNEY'S DOCKET NUMBER 101101USWO	
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<p>17. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p><b>BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)):</b></p> <p>Search Report has been prepared by the EPO or JPO.....\$890.00</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.492(a)(1)).....\$710.00</p> <p>No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$740.00</p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(3)) paid to USPTO ..... \$1040.00</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) .....\$100.00</p>				<p><b>CALCULATIONS PTO USE ONLY</b></p>	
<p align="center"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p>				<p align="center">\$890.00</p>	
<p>Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p>				<p align="center">\$0</p>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	18	-20 = 0	X \$18.00	\$0	
Independent claims	2	-3 = 0	X \$84.00	\$0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$0	
<p align="center"><b>TOTAL OF ABOVE CALCULATIONS =</b></p>				<p align="center">\$890.00</p>	
<p>Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27</p>				<p align="center">\$0</p>	
<p align="center"><b>SUBTOTAL =</b></p>				<p align="center">\$890.00</p>	
<p>Processing fee of <b>\$130.00</b> for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</p>				+	\$0
<p align="center"><b>TOTAL NATIONAL FEE =</b></p>				<p align="center">\$890.00</p>	
<p>Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property</p>				+	\$40.00
<p align="center"><b>TOTAL FEES ENCLOSED =</b></p>				<p align="center">\$930.00</p>	
				Amount to be: refunded	\$0
				charged	\$0

a. ☒ Check(s) in the amount of \$890.00 and \$40.00 to cover the above fees is enclosed.

b. [ ] Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 13-2725.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

<p>SEND ALL CORRESPONDENCE TO: Douglas P. Mueller MERCHANT &amp; GOULD P.O. Box 2903 Minneapolis, MN 55402-0903</p>	<p>SIGNATURE: <u>Curtis B. Hamre</u></p> <p>NAME: Curtis B. Hamre</p> <p>REGISTRATION NUMBER: 29,165</p>
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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Araki, et al.  
Docket: 10921.101USWO  
Title: AQUEOUS POLYAMIDE RESIN DISPERSION AND PROCESS FOR PRODUCING THE SAME

## CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EL669944235US  
Date of Deposit: October 19, 2001  
I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

By: Chris Stordahl  
Name: Chris Stordahl

BOX PATENT APPLICATION  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ National Stage PCT Patent Application: Spec. 22 pgs; 18 claims; Abstract 1 pgs.  
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☒ Information Disclosure Statement, Form 1449, 8 Reference(s)
- ☒ A signed Combined Declaration and Power of Attorney
- ☒ Assignment of the invention to Sumitomo Seika Chemicals Co., Ltd., Recordation Form Cover Sheet
- ☒ A check in the amount of \$890.00 to cover the Filing Fee
- ☒ A check for \$40.00 to cover the Assignment Recording Fee.
- ☒ Other: Published Front Page of PCT/JP/02568, PCT/ISA/210; PCT/IB/304; PCT/IB/308; PCT/IB/332, Preliminary Amendment, Certification of English Translation.
- ☒ Return postcard

CLAIMS AS FILED							
Number of Claims Filed	In Excess of:	Number Extra	Rate				Fee
Basic Filing Fee							\$890.00
Total Claims							
18	- 20	= 0	x 18.00	=			\$0.00
Independent Claims							
2	- 3	= 0	x 84.00	=			\$0.00
MULTIPLE DEPENDENT CLAIM FEE							\$0.00
TOTAL FILING FEE							\$890.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.  
P.O. Box 2903, Minneapolis, MN 55402-0903  
(612) 332-5300



By: Curtis B. Hamre  
Name: Curtis B. Hamre  
Reg. No.: 29,165  
Initials: CBH/DPMueller/rw

(PTO TRANSMITTAL - NEW FILING)

JC10 Rec'd PCT/PTO 19 OCT 2001

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(REV 10-94)

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ANABE, Hiroshi

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items concerning a filing under 35 U.S.C. 371.  
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1(c)(2))  
by the International Bureau).

United States Receiving Office (RO/US)  
U.S.C. 371(c)(2)).

under PCT Article 19 (35 U.S.C. 371(c)(3))  
transmitted by the International Bureau).

making such amendments has NOT expired.

Article 19 (35 U.S.C. 371(c)(3)).

Examination Report under PCT Article 36

98., form 1449, and 8 references.

in compliance with 37 CFR 3.28 and 3.31 is included.

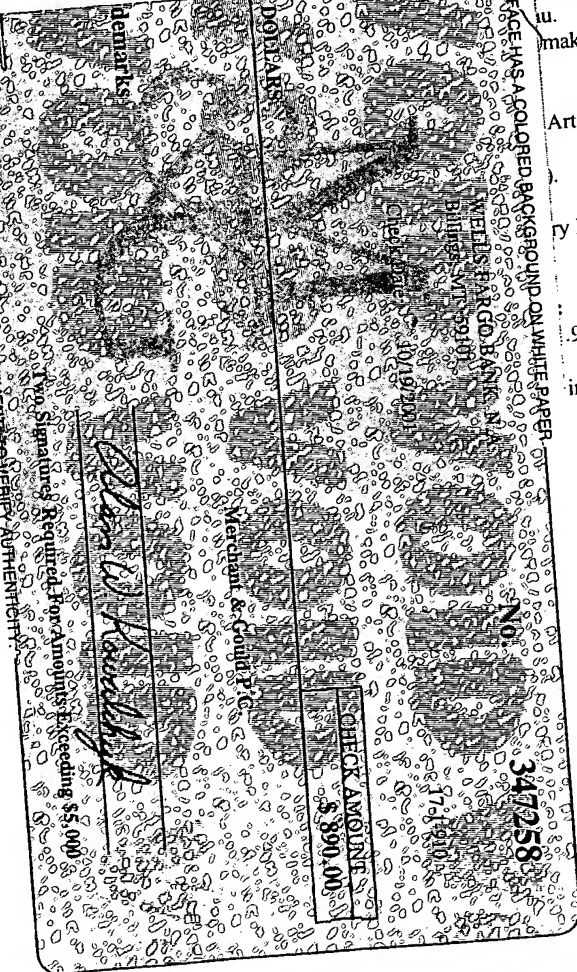
B/308; PCT/IB/332

PCT/JP/02568

(PCT/JP00/02568)

CHOK

"347258" "092905168" "990019218"



Receipt is hereby acknowledged for the following in the U.S. Patent and Trademark Office:

Applicant: Araki, et al.  
Title: AQUEOUS POLYAMIDE RESIN DISPERSION AND PROCESS FOR PRODUCING THE SAME  
Docket: 10921.101USWO  
Express Mail No.: EL669944235US  
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CBH/DPMueller/rw

PCT/JP00/02568 N.S